

05/08/01
11003 U.S. PTO

05-09-01

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PTO/SB/05 (08-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Please type a plus sign (+) inside this box → +

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UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No.

393042

Inventors.

Jingen Zhang, Mark E. Jason, and Terry C. Wolfe

Title

Functional Fluid Compositions Containing Epoxide Acid Scavengers

Express Mail Label No.

EL846918683US

(Only for new nonprovisional application under 37 CFR 1.53(b))

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒

Fee Transmittal Form (e.g. PTO/SB/17)
(Submit an original and a duplicate for fee processing)

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer

2. ☐

Applicant claims small entity status
See 37 CFR 1.27.

8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)

3. ☒

Specification [Total Pages 44]
(preferred arrangement set forth below)
- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table,
or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

a. ☐ Computer Readable Form (CRF)

b. Specification Sequence Listing on:

i. ☐ CD-ROM or CD-R (2 copies), or

ii. ☐ paper

c. ☐ Statements verifying identity of above copies

4. ☒

Drawing(s) (35 U.S.C. 113) [Total Sheets 7]

5. ☐

Oath or Declaration [Total Pages _]

- a. ☐ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 17 completed)

- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).

6. ☐

Application Data Sheet. See 37 CFR 1.76

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Request And Certification Under 35 U.S.C. 122(b)(2)(B)(i)
17. ☒ Other Check for \$1,528.00
Certificate of Mailing

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation

☐ Divisional

☐ Continuation (CIP)

of prior application No. _____/_____

Prior application information:

Examiner _____

Group / Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

☐ Correspondence address below

Name

LATHROP & GAGE, LC

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2345 Grand Boulevard

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Kansas City

State

Missouri

Zip Code

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Name (Print/Type)

Kenneth D. Goetz

Registration No. (Attorney/Agent)

32,696

Signature

Kenneth D. Goetz

Date 5/8/01

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FEE TRANSMITTAL

Patent fees are subject to annual revision.

Complete if Known

Application Number	Not Assigned
Filing Date	Filed Herewith
Inventors:	Jingen Zhang, Mark E. Jason, & Terry C. Wolfe
Examiner Name	Not Assigned
Group Art Unit	Not Assigned
Attorney Docket No.	393042

TOTAL AMOUNT OF PAYMENT (\$)1,546.00**METHOD OF PAYMENT (check one)**

1. ☒ The commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
Deposit Account Number 12-0600
Deposit Account Name Lathrop & Gage, LC
☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
Applicant claims small entity status. See 37 CFR 1.27

2. ☒ **Payment Enclosed:**
☒ Check ☐ Credit Card ☐ Money Order
☐ Other

FEE CALCULATION

1. BASIC FILING FEE				
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
101	710	201	355	Utility filing fee
106	320	206	160	Design filing fee
107	490	207	245	Plant filing fee
108	710	208	355	Reissue filing fee
114	150	214	75	Provisional filing fee

SUBTOTAL (1) (\$)710.00**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
62	-20** = 41	X 18 =	756
Independent Claims	4 - 3** = 1	X 80 =	80
Multiple Dependent		0 =	0

**or number previously paid, if greater; For Reissues, see below

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)836.00**3. ADDITIONAL FEES**


Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use Proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional Applications	
126	240	126	240	Submission of Information Disclosure Statement	
581	40	581	40	Recording each patent assignment Per property (times number of properties)	
146	710	246	355	Filing a submission after final Rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be Examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination Of a design application	

Other fee (specify) _____

SUBTOTAL (3) (\$)0.00

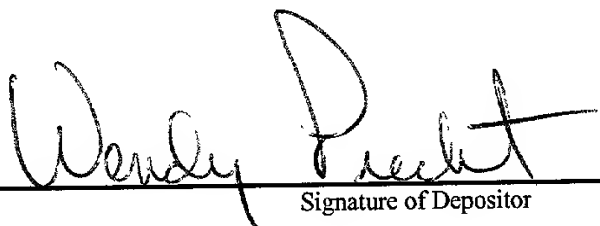
*Reduced by Basic Filing Fee Paid

SUBMITTED BY**Complete (if applicable)**

Name (Print/Type)	Kenneth D. Goetz	Registration No. (Attorney/Agent)	32,696	Telephone	(816) 460-5849
Signature		Date	May 8, 2001		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10) Applicant(s): Jingen Zhang, Mark E. Jason, & Terry C. Wolfe			Matter No. 393042
Serial No. Not Assigned	Filing Date Filed Herewith	Examiner Not Assigned	Group Art Unit Not Assigned
Invention: Functional Fluid Compositions Containing Epoxide Acid Scavengers			
<p>I hereby certify that this: Utility Patent Application Transmittal (1 page); Fee Transmittal (1 page); Specification, including claims and abstract (44 pages); Drawings (7 pages); Checks for \$1,546.00; Certificate of Mailing by Express Mail (1 page); and this postcard is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on this 8th day of May, 2001.</p>			
<div>Wendy Precht</div> <div>Name of Depositor</div>			
<div></div> <div>Signature of Depositor</div>			
<div>EL846918683US</div> <div>Express Mail Label No.</div>			